



**2021/22**

# **National New Investigator Awards**

## **Submission Guidelines**

### **(Fall 2020 Competition)**

**30 June 2020**

**Please READ CAREFULLY:**

Thank you for your interest in applying to the 2021/22 National New Investigator competition. Due to the unprecedented financial challenges caused by a decreased ability to fundraise during the COVID-19 pandemic and in the uncertain future – we would like to explicitly advise that Heart & Stroke may not be in a position to offer/fund any awards from this competition.

Heart & Stroke is offering this competition for those who choose to apply understanding that no awards may be offered.

**Please also note:**

- To submit an application, the Applicant MUST pre-register by **31 July, 2020** using the following pre-registration link: [https://www.surveymonkey.com/r/2021-22\\_NNI-NCN\\_Registration-Inscription](https://www.surveymonkey.com/r/2021-22_NNI-NCN_Registration-Inscription). Once pre-registered, additional details will be released to the Applicant.
- All referee letters must be confidential and **emailed to [research@heartandstroke.ca](mailto:research@heartandstroke.ca) separately from the appropriate referee, and must be received by the submission deadline of 04 September 2020 at 16:00 EDT.**

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## A. General Information

### 1) National New Investigator Awards

The National New Investigator (NNI) program is a salary award to support new investigators who have demonstrated excellence in their doctoral and post- doctoral training and wish to establish their own independent research career (e.g., lab). Salary support opportunities of this kind provide an added incentive for researchers to continue or begin their program of research within Canada.

### 2) Application Submission Deadline

Applications for the New Investigator award must be **received by the Heart & Stroke no later than 16:00 (EDT) on September 4, 2020.**

Applications received **after the deadline** will be considered late and not be eligible for the competition. It is the responsibility of the applicant to ensure that application items sent separately are delivered to Heart & Stroke before the deadline.

Heart & Stroke will decline late or incomplete applications. There will be no appeal process.

### 3) Incomplete/Unacceptable Applications

Applicants are strongly cautioned to carefully read and follow the instructions and requirements outlined in this guideline document as well as the Checklist page of the application form, found on the 'For Researchers' section of the Heart & Stroke [website](#), under *Apply to current funding opportunities – Available opportunities.*

In order to maintain the principle of fairness to all applicants, regulations must be adhered to in the preparation of the application. Any infraction of the rules will lead to the truncation or immediate rejection (without appeal) of the application. These regulations have the advantage of being unambiguous for applicants, easily enforceable by staff and/or review panels, and fair and equitable for all applicants.

### 4) Re-Applying to the New Investigator Competition

If three (3) unsuccessful New Investigator applications have been made, a subsequent application will be considered only in unusual circumstances.

### 5) Competition Results

Early notification (not likely to be funded/may or may not be funded/most likely to be funded) may be sent to applicants by **late January 2021.**

Official/final notifications will be sent to applicants by **the end of March 2021** or an update on notifications will be provided.

### 6) Non-Employee Status

The granting of an award is deemed to establish neither an employer-employee relationship nor a partnership between the grantor and the grantee.

### 7) Public Information

Successful applicants need to be aware that the title of their research program and the lay summary will be placed into the public domain or included in Heart & Stroke publications without notification. Applicants are cautioned not to disclose information that could endanger a proprietary position in these sections.

Successful applicants may be asked to help us communicate the importance of research to Heart & Stroke donors and the general public. In this increasingly difficult economic climate, raising funds to support research is becoming progressively more difficult. More than ever, we need to let our donors and the public know that their donations are being used to support world class research. Applicants are well-positioned to explain the role of research in increasing heart health and reducing the burden of heart disease and stroke and may be asked to serve as a spokesperson or to work with us to profile their research.

### 8) Ethical Requirements

By signing and submitting applications to Heart & Stroke, applicants undertake the responsibility to ensure any experimentation will be acceptable to the institution on ethical grounds and comply with the following guidelines and host institution research policies, as applicable:

Applicants must ensure all experiments comply with the following guidelines and host institution research policies, as applicable:

- Tri-Council Policy Statement: *Ethical Conduct for Research Involving Humans*<sup>1</sup>.
- Good Clinical Practice (GCP).
- Good Laboratory Practice (GLP).
- In the case of laboratory animal experimentation, the guiding principles and standards enunciated by the Canadian Council on Animal Care<sup>2</sup>.
- Guidelines and standards for biological and chemical hazards as outlined in the Public Health Agency/Canadian Food Inspection Agency's *Canadian Biosafety Standards and Guidelines*<sup>3</sup>.
- Any research involving human pluripotent stem cells must adhere to the CIHR *Guidelines for Human Pluripotent Stem Cell Research*<sup>4</sup>. The institution must notify Heart & Stroke as to the results of the review by the CIHR's Stem Cell Oversight Committee.

## 9) Sex and Gender-Based Analysis (SGBA)

Applicants are required to integrate sex and gender-based analysis (SGBA) in their research design. Any application that does not incorporate SGBA must provide a rationale why it would not be relevant to the project. All applicants are strongly encouraged to complete CIHR's Institute of Gender and Health training modules: [Online Training Modules](#).

## 10) Indirect Costs

Heart & Stroke supports only the direct costs of research. No funding is to be used for indirect costs of research. The definition of indirect costs of research for the purposes of this policy is; costs which cannot be directly associated with a particular research program or operating grant, including costs associated with the general operation and maintenance of facilities (from laboratories to libraries); the management of the research process (from grant management to commercialization); and regulation and safety compliance (including human ethics, animal care and environmental assessment); and generic institutional/departmental taxes/tithes related to services.

## 11) Open Access to Research Outputs Policy

Heart & Stroke requires that all researchers supported in whole or in part through Heart & Stroke make their research outputs publicly available as soon as possible but no later than twelve (12) months after the final publication or availability of results. In this policy, Heart & Stroke defines research outputs as peer-reviewed journal publications, research data, and the results of clinical trials that will not be published in peer-reviewed journals. Compliance with the *Open Access to Research Outputs* policy is a condition of acceptance of all Heart & Stroke research funding. Please see Heart & Stroke's Open Access to Research Outputs available at: [Open Access to Research Outputs Policy: Guidelines](#).

## 12) Publications

Recipients of Personnel Awards must acknowledge the support of Heart & Stroke in all scientific communications and press releases related to their award. To facilitate the implementation of Heart & Stroke's program for knowledge transfer and exchange and to demonstrate accountability for use of research funding, Heart & Stroke must be notified in advance of the publication date of any major publications arising from research funded by Heart & Stroke by email at: [research@heartandstroke.ca](mailto:research@heartandstroke.ca).

## 13) Four Themes of Health Research

New Investigator applicants must estimate what proportion of the proposed research falls under the four (4) health research themes.

The four (4) themes of health research as defined by the CIHR are:

### Basic Biomedical (I)

Research with the goal of understanding normal and abnormal human function, at the molecular, cellular, organ system and whole body levels, including the development of tools and techniques to be applied for

<sup>1</sup> See [www.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/](http://www.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/) for details.

<sup>2</sup> See [www.ccac.ca/en/\\_standards/guidelines](http://www.ccac.ca/en/_standards/guidelines) for details.

<sup>3</sup> See <http://canadianbiosafetystandards.collaboration.gc.ca/index-eng.php> for details.

<sup>4</sup> See <http://www.cihr-irsc.gc.ca/e/15255.html> for details.

this purpose; developing new therapies or devices which improve health or the quality of life of individuals, up to the point where they are tested on human subjects. Studies on human subjects that do not have a diagnostic or therapeutic orientation.

#### Clinical (II)

Research with the goal of improving the diagnosis and treatment (including rehabilitation and palliation) of disease and injury; improving the health and quality of life of individuals as they pass through normal life stages. Research on, or for the treatment of, patients.

#### Health Services/Systems (III)

Research with the goal of improving the efficiency and effectiveness of health professionals and the health care system, through changes to practice and policy. Health services research is a multidisciplinary field of scientific investigation that studies how social factors, financing systems, organizational structures and processes, health technologies, and personal behaviours affect access to health care, the quality and cost of health care, and ultimately our health and well-being.

#### Social, Cultural, Environmental and Population Health (IV)

Research with the goal of improving the health of the Canadian population, or of defined sub-populations, through a better understanding of the ways in which social, cultural, environmental, occupational, and economic factors determine health status.

### **14) Lay Reviewers**

Heart & Stroke incorporates lay reviewers on Scientific Review Committee (SRC) panels in order to increase accountability and transparency of the Heart & Stroke review process and to ensure the research is aligned with its goals and mission. Heart & Stroke places a high priority on ensuring appropriate lay summaries are submitted as part of each application. If the application is accepted for funding and the lay summary is identified as unsatisfactory, funds will be encumbered pending receipt of a satisfactory lay summary.

### **15) Multiple Submissions**

Multiple submissions for national Heart & Stroke National New Investigator Award applicants are not permitted. Where partnership programs are in place, the applicant must contact Heart & Stroke for more information.

### **16) Transfer of Award**

National New Investigator Awards are not transferable under any circumstances.

### **17) Status of Publications**

Manuscripts may not be attached unless they have been submitted or accepted for publication. Any manuscript included with an application must be accompanied by documentation from a journal verifying that the manuscript has been submitted, is accepted for publication, or is in press. **Only updates to the three (3) representative publications attached as part of section 15** of the application will be accepted. Heart & Stroke will not accept letters indicating confirmation of acceptance for publication of a paper after December 1, 2020.

### **18) Partial Awards**

Partial awards of less than one (1) year are not available to National New Investigator Award applicants.

## B. Research Integrity Policy

The primary objective of Heart & Stroke's Research Integrity Policy is to protect and defend the integrity of the research process and to deal with allegations of scientific misconduct in a timely and transparent fashion. Responsibilities of researchers, institutions and Heart & Stroke with respect to research integrity are outlined in the **Heart & Stroke Framework: Responsible Conduct of Research**.

As a condition of funding, all Heart & Stroke grant and award recipients agree to comply with the Principles and Responsibilities set out in that policy, and the research misconduct provisions below.

Heart & Stroke defines research misconduct to include actions that are inconsistent with "integrity" as defined by the Tri-Agency Framework, and to include such actions as fabrication, falsification, or plagiarism in proposing, performing, or reporting research, or in reporting research results.<sup>5</sup>

Heart & Stroke will deal with allegations of scientific misconduct in the following manner:

- Any allegation of scientific misconduct will be initially reviewed by Heart & Stroke to determine whether an investigation is warranted. If it is felt that an investigation is required, Heart & Stroke may request that this be conducted by the host institution of the individual considered to have performed the alleged misconduct. In allegations specifically related to the peer review process, the investigation may be conducted jointly by the institution and Heart & Stroke.
- Heart & Stroke will not act on verbal allegations of misconduct. All allegations must be submitted in writing. Although the confidentiality of persons who submit an allegation of scientific misconduct will be protected as much as possible, it must be recognized that due process will often result in the identity of this person being released to the investigating institution.
- The institution will be required to submit a written report upon conclusion of the investigation. This report will summarize the findings of the investigation and any future actions that will be undertaken by the institute as a result of the findings.
- In cases where misconduct is concluded to have occurred, Heart & Stroke may apply sanctions against the individual(s) implicated. These sanctions will range from a reprimand letter to a ban from applying for or holding Heart & Stroke funds for a set period of time.

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<sup>5</sup> Wording adopted from the US Department of Health and Human Services, Public Health Service Policies on Research Misconduct, Final Rule. May 17, 2005. Definitions available from: <https://ori.hhs.gov/definition-misconduct>.

## C. Specific Program Information

### 1) Description

#### Heart & Stroke National New Investigator Award

The Heart & Stroke National New Investigator (NNI) award provides salary support to individuals who have clearly demonstrated excellence during their doctoral and post-doctoral training in cardiovascular or cerebrovascular research.

A limited number of National New Investigator awards will be supported by the Heart & Stroke at any given time.

All awards become tenable July 1 following the announcement of the competition results.

### 2) Eligibility Criteria

#### 2.1 General – National New Investigator

- a. A National New Investigator may not be in receipt of another major Personnel award from another national funding agency at the same time as holding a Personnel Award from Heart & Stroke. Likewise, an awardee may not concurrently hold a Canada Research Chair and a Heart & Stroke New Investigator, Alberta New Investigator, or an Ontario Clinician Scientist award. In addition, an awardee may not hold two Heart & Stroke Personnel Awards (national and provincial) concurrently. However, an awardee may accept supplemental funding; no greater than 50% of the value of the Heart & Stroke award, if it is from a local or provincial funding source, providing it is not a Heart & Stroke Provincial award.
- b. At the time of submission, the applicant must have a full-time appointment at the Assistant Professor level or above in Canada;
- c. At the time of submission, and for the duration of the award, award recipients are ineligible if they hold or have already held funding, directly or indirectly, from the tobacco and/or cannabis industry.
- d. The applicant should clearly demonstrate the potential to become an independent investigator.
- e. At the time of submission, no more than five (5) years may have passed since the date of the first faculty appointment at the Assistant or Clinical Assistant Professor level. This would include Adjunct positions in a research track for which the applicant is eligible to write a Grant-in-Aid as a Principal or Co-Principal Investigator. The date of first faculty appointment will be based on the date listed in the Common CV (i.e., under Employment).
- f. Applications for this award must be supported by the university or institution at which the applicant will conduct the proposed research program. The university or institution is expected to guarantee the applicant appropriate academic rank and to provide adequate space and facilities for the investigator's research, commensurate with the status of the individual's experience and level of support by the Heart & Stroke.
- g. The applicant must have an MD, PhD, or equivalent degree.
- h. The Dean and Department Head (or institutional equivalents) must guarantee at least 75% of the applicant's time will be allocated to the proposed research program.
- i. The applicant must hold an operating grant in support of the proposed research program at the time of this award; such grant(s) may be from Heart & Stroke and/or other granting agencies. The research grant support has the following additional requirements:
  - i) For each year of the three (3) years of the award, the recipient must be a Principal or Co-Principal Investigator on a peer-reviewed grant originating from a national or provincial funding agency, irrespective of the amount of the grant.
  - ii) The recipient must have at least \$30,000 per year of research funding for which he/she is Principal or Co-Principal Investigator.
  - iii) Peer reviewed/Non-Peer reviewed funding



- For years one (1) and two (2) of the award, research funding may originate from peer-reviewed and non-peer-reviewed sources.
- For year three (3) of the award, research funding must originate from peer-reviewed sources.

**3) Evaluation Criteria**

- a. All applications undergo peer review by the SRC.
- b. The major criteria in evaluating the applications will be:
  - i. Academic and research background of the applicant;
  - ii. Research environment; and
  - iii. The quality of the research program.

**4) Tenure / Stipend and Allowances**

Award Name	Eligibility	Value/year	Duration
National New Investigator	0-5 years	\$60K*	3 years

\* See Special Awards (section 6, page 14)

**4.1 Tenure**

- a. The award will be for a period of three (3) years. The award cannot be renewed for a second term.
- b. The recipient will be considered as an employee of the sponsoring university or institution and funds granted will be paid to the institution for payment to the recipient. The recipient will enjoy the benefits of a full-time member of the staff with respect to pension, insurance and other plans according to the university or institution’s policies.
- c. The award may be terminated at any time for good cause by the recipient, the sponsoring institution, or the Heart & Stroke.
- d. The award commences July 1 and the recipient will devote the ensuing three (3) years to the objectives of the award. This period includes vacation as per the institution’s policy.
- e. During tenure of this award, the recipient may not sit for a specialty qualifying examination without permission from Heart & Stroke.
- f. The recipient must immediately notify Heart & Stroke should significant changes in research activities occur during the tenure of this award.
- g. The recipient must immediately notify Heart & Stroke should he/she relocate to another institution (including outside of Canada)

**4.2 Stipend and Allowances**

- a. The stipend for the National New Investigator is \$60,000 per annum, including the employer’s share of fringe benefits, for a maximum of three (3) years. There are no additional allowances.
- b. The Heart & Stroke imposes no restriction on the additional income the National New Investigator awardee may earn, provided it is within the guidelines of the sponsoring university or institution and that such activity does not impinge upon the time dedicated to the proposed research program.

**5) Application**

Only one (1) application form is required when applying to the National New Investigator.

**Applicants must submit:**

- One (1) PDF copy of the complete application. Please follow the upload instructions provided after successfully completing the pre-registration step.

Each copy of the complete application must include:

- a. A six (6) page detailed description of the proposed research program, which includes identification of the applicant's role and how the execution of the research plan contributes to the applicant's development as an independent researcher.
- b. An institutional statement completed by the Dean and Department Head (or institutional equivalents) confirming that the applicant will have 75% of his/her time allocated to the proposed research program. The statement must clearly describe details on:
  - How this 75% allocation of research time will be spent;
  - Commitments for the remaining 25%;
  - Critical appraisal of the applicant; and,
  - Critical appraisal of the proposed research program.
- c. Section 19 of the application: Three (3) letters of recommendation emailed separately, from the referees. The letters must evaluate the applicant's:
  - Professional and academic capabilities for this award;
  - Personal attributes;
  - Research potential; and,
  - Alignment of the overall research program with the mission of Heart & Stroke.

The letters must be from professors (or instructors) under whom the applicant has received training. These letters must be emailed to [research@heartandstroke.ca](mailto:research@heartandstroke.ca) from the referees.

*\*Note: Heart & Stroke will exclude letters of recommendations and assessment forms that **arrive after the submission deadline.***

- d. An executive summary of the proposed research (section 14 of the application form).
- e. Sex (biological) and Gender (socio-cultural) considerations (section 15 of the application form): Applicants are required to integrate sex and gender-based analysis (SGBA) in their research design. Any application that does not incorporate SGBA must provide a rationale why it would not be relevant to the project. **All applicants are strongly encouraged to complete the CIHR Institute of Gender and Health training modules: [Online Training Modules.](#)**
- f. A complete structured lay summary with a clear explanation of how the proposed research is directly relevant to heart disease and/or stroke and what is the impact of the proposed research to heart disease and/or stroke. The lay summary must be written in everyday language (for a general audience) at a level no greater than Grade 8. The structured lay summary is a required section of the application form.
- g. A completed copy of the applicant's Common CV form (HSFC version only). This is a web-based form, which allows CV information to be entered online (refer to <https://ccv-cvc.ca/indexresearcher-eng.frm> for further instructions).
- h. Signature(s)  
The Heart & Stroke will accept either a scanned copy of the original signatures, or electronic signatures. Note: The expectation is that an electronic signature will hold the same weight as an original (wet) signature.

## 5.2 Submission of Application

The applicant must submit one (1) PDF copy of the full application. The PDF file name should be in the following format: Last name, First initial – NI21 (e.g., SmithJ – NI21).

The PDF should be organized in the same order as the checklist page of the application. Attachments should be inserted within the application where appropriate (i.e., the detailed proposal (Section #17) should be inserted directly after Section #17 in the application, not at the end). Appendices (if applicable) should appear after the signature page. The Heart & Stroke will attach a copy of the reference letters to the PDF prior to sending the application to reviewers.

In addition, the applicant is required to place bookmarks in the PDF for the following sections:

- Lay Summary
- 1 Page Summary
- Research Proposal
- CV - Label using last name (e.g., "CV Smith")
- CV Publications – Label using last name (e.g., "CV Publications Smith")

Please note the examples are provided for reference purposes only.

#### 6) **Special Awards**

##### McDonald Scholarship

The McDonald Scholarship is awarded to the highest rated National New Investigator. The McDonald Scholar will be awarded an additional research grant of \$10,000 in the first year of the award.

##### Henry J.M. Barnett Scholarship

The Henry J.M. Barnett Scholarship is awarded to a highly rated National New Investigator working in stroke or a related field. The Henry J.M. Barnett Scholar will be awarded an additional research grant of \$10,000 in the first year of the award.

#### 7) **Application Submission**

To submit an application, the Applicant **MUST** pre-register by **31 July, 2020 using the following pre-registration link [https://www.surveymonkey.com/r/2021-22\\_NNI-NCN\\_Registration-Inscription](https://www.surveymonkey.com/r/2021-22_NNI-NCN_Registration-Inscription)**. Once pre-registered, additional details will be released to the Applicant.

#### 8) **Contact Information:**

**For any questions or concerns, the preferred form of communication is email.** Your email will go to a general email inbox which is accessed by multiple research team members and is the best way to get a timely response.

Research Department  
Heart & Stroke  
Tel: (613) 691-4045

Email: [research@heartandstroke.ca](mailto:research@heartandstroke.ca)  
Website: <https://www.heartandstroke.ca/research>